



TRANSMITTAL FORM		Application Number	
(to be used for all correspondence after initial filing)		09/480,724	
		Filing Date	
		January 7, 2000	
		First Named Inventor	
		Robert Carey et al.	
Group Art Unit		3628	
Examiner Name		H. Dass	
Attorney Docket Number		12640US01	
Total Number of Pages in This Submission		14	
ENCLOSURES (check all that apply)			
<input type="checkbox"/> Fee Transmittal Form <input type="checkbox"/> Fee Attached <input checked="" type="checkbox"/> Amendment/Reply <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input type="checkbox"/> Information Disclosure Statement <input type="checkbox"/> PTO 1449/08A with references <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> Response to Missing Parts/Incomplete Application <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53		<input type="checkbox"/> Assignment Papers (for an Application) <input type="checkbox"/> Drawing(s) (      sheets) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD Number of CD(s) _____	
		<input type="checkbox"/> After Allowance Communication to Group <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below):  Return receipt postcard	
Remarks		The Commissioner is authorized to charge any deficiencies or credit any overpayment to Deposit Account No. 13-0017.	
SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT			
Firm or Individual Name	Ronald E. Larson, Esq. McAndrews Held & Malloy, Ltd.		
Signature	<i>Ronald E. Larson</i>		
Date	July 27, 2004		
CERTIFICATE OF MAILING			
I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on July 27, 2004			
Name (Print/type)	Ronald E. Larson	Registration No. (Attorney/Agent)	24,478
Signature	<i>Ronald E. Larson</i>	Date	July 27, 2004



3628  
RFW

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE  
Case No. 12640US01

PATENT

In the Application of:

ROBERT CAREY et al.

Serial No.: 09/480,724

Filed: January 7, 2000

For: METHOD OF SELECTING  
SECURITIES FOR A PORTFOLIO

Examiner: Harish T. Dass

Group Art Unit: 3628

Confirmation No.: 4660

CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to the Commissioner for Patents, Mail Stop Amendment, P.O. Box 1450, Alexandria VA 22313-1450 on July 27, 2004.

By: Ronald E. Larson  
Ronald E. Larson  
Reg. No. 24,478

AMENDMENT D

MAIL STOP AMENDMENT  
Commissioner for Patents  
P.O. Box 1450  
Alexandria VA 22313-1450

Dear Sir:

In response to the Office Action dated April 29, 2004, kindly amend the above-identified application as follows:

AMENDMENTS TO THE SPECIFICATION:

None.